

NONPROFIT ORGANIZATION
VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. 1.9(e) AND 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California
 ADDRESS OF ORGANIZATION: 300 Lakeside Drive, 22nd Floor
 Oakland, California 94612-3550

TYPE OF ORGANIZATION:

- a) ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
 b) ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) AND 501(c)(3))
 c) ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA - (NAME OF STATE _____)
 (CITATION OF STATUTE _____)
 d) ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) AND 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
 e) ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA - (NAME OF STATE _____)
 (CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in regard to the invention, entitled PROSTATE STEM CELL ANTIGEN-1, PSCA-1, A PROSTATE CANCER MARKER AND TARGET FOR ANTICANCER AGENTS by inventor(s) Robert Reiter and Owen Witte described in

- a) ☒ the specification filed herewith.
 b) ☐ provisional application serial no. _____, filed _____.
 c) ☐ non-provisional application serial no. _____, filed _____.
 d) ☐ patent no. _____, issued _____.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

NAME UroGenesys
 ADDRESS 1701 Colorado Avenue, Santa Monica, California 90404
 a) ☐ INDIVIDUAL b) ☒ SMALL BUSINESS CONCERN c) ☐ NONPROFIT ORGANIZATION

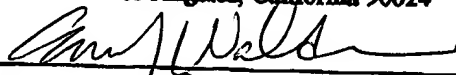
NAME _____
 ADDRESS _____
 a) ☐ INDIVIDUAL b) ☐ SMALL BUSINESS CONCERN c) ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

NAME: Emily Waldron
TITLE: Technology Transfer Officer
ADDRESS: Office of Technology Transfer
University of California, Los Angeles
1400 Ueberroth Building
405 Hilgard Avenue
Los Angeles, California 90024

SIGNATURE:



DATE:

2.13.98

03038601034090

30435.54583

SMALL BUSINESSVERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- a) ☒ the founder of the small business concern identified below:
b) ☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: UroGenesys
ADDRESS OF CONCERN: 1701 Colorado Avenue
Santa Monica, California 90404

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. 121.801-805, and reproduced in 37 C.F.R. 1.9(d), for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled PROSTATE STEM CELL ANTIGEN-1, PSCA-1, A PROSTATE CANCER MARKER AND TARGET FOR ANTI-CANCER AGENTS by inventor(s) Robert Reiter and Owen Witte described in

- a) ☒ the specification filed herewith.
b) ☐ provisional application serial no. _____, filed _____.
c) ☐ non-provisional application serial no. _____, filed _____.
d) ☐ patent no. _____, issued _____.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

NAME The Regents of the University of California
ADDRESS 300 Lakeside Drive, 22nd Floor, Oakland, California 94612-3550
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereof, or any patent to which this verified statement is directed.

NAME: Donald B. Rice, Ph. D.
TITLE: President and CEO
ADDRESS: 1701 Colorado Avenue, Santa Monica California 90404

SIGNATURE: Donald B Rice Date: 2/12/98